

*see folder*

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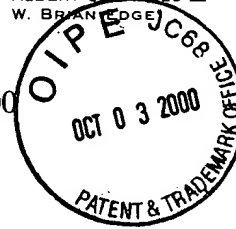
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October 3, 2000



**WRITER'S DIRECT NUMBER:**

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**INTERNET ADDRESS:**

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Commissioner for Patents  
Washington, D.C. 20231

**Box Missing Parts  
Art Unit 2836**

Re: U.S. Non-Provisional Utility Patent Application  
Appl. No. 09/550,642; Filed: April 14, 2000  
For: **Method and System for Down-Converting an  
Electromagnetic Signal, and Transforms for Same**  
Inventors: Sorrells *et al.*  
Our Ref: 1744.0920001

Sir:

In reply to the Notice to File Missing Parts of Application--Filing Date Granted,  
Applicants submit the following documents for appropriate action by the U.S. Patent and  
Trademark Office:

1. Petition for Extension of Time under 37 C.F.R. § 1.136 (*in duplicate*);
2. PTO Fee Transmittal Form PTO/SB/17 (*in duplicate*);
3. Copy of the Notice to File Missing Parts;
4. Preliminary Amendment;
5. Original, executed Combined Declaration and Power of Attorney;
6. Original, executed Power of Attorney from Assignee;

Commissioner for Patents

October 3, 2000

Page 2

7. Original, executed Certificate under 37 C.F.R. § 3.73(b) with a copy of the Assignment attached;
8. Return postcard; and
9. Our Check No. 28977 for \$ 2,162.00 to cover:
  - \$ 710.00 Filing Fee for Patent Application (37 C.F.R. § 1.16),
  - \$ 972.00 Fee for excess total claims (37 C.F.R. § 1.16),
  - \$ 240.00 Fee for excess independent claims (37 C.F.R. § 1.16),
  - \$ 130.00 Surcharge for late filing of Declaration (37 C.F.R. § 1.16), and
  - \$ 110.00 For extension of time fees (37 C.F.R. § 1.136).

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036. If extensions of time under 37 C.F.R. § 1.136 other than those otherwise provided for herewith are required to prevent abandonment of the present patent application, then such extensions of time are hereby petitioned, and any fees therefor are hereby authorized to be charged to our Deposit Account No. 19-0036. A duplicate copy of this letter is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

*Patricia D. O'Brien / Reg # 41,224*  
Michael Q. Lee  
Attorney for Applicants  
Registration No. 35,239

## FORMALITIES LETTER



\*OC000000005226583\*

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark OfficeAddress: COMMISSIONER OF PATENT AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/550,642	04/14/2000	David F. Sorrells	1744.0920001

Sterne Kessler Goldstein & Fox PLLC  
Attorneys at law  
Suite 600  
1100 New York Avenue NW  
Washington, DC 20005-3934



Date Mailed: 07/07/2000

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$1206.
  - \$972 for 54 total claims over 20.
  - \$234 for 3 independent claims over 3.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 2026.**

*A copy of this notice MUST be returned with the reply.*

Customer Service Center

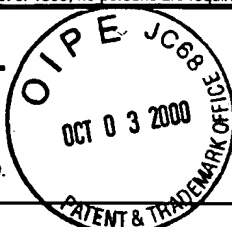
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

10/10/2000 8:00NDAF1 00000037 09550642  
 01 FC:101 710.00 00 00  
 02 FC:105 130.00 00 00  
 03 FC:102 240.00 00 00  
 04 FC:103 972.00 00 00

**FEE TRANSMITTAL  
for FY 2001**

Patent fees are subject to annual revision.

**Complete if Known**

Application Number	09/550,642
Filing Date	April 14, 2000
First Named Inventor	David F. Sorrells
Examiner Name	(to be assigned)
Group Art Unit	2836
Attorney Docket No.	1744.0920001

**TOTAL AMOUNT OF PAYMENT** (\$ 2,162.00)**METHOD OF PAYMENT (check one)**

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:

Deposit Account Number

19-0036

Deposit Account Name

Sterne, Kessler, Goldstein &amp; Fox P.L.L.C.

- ☐ Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

- ☐ Applicant claims small entity status See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☒ Other\*

\*Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No. 19-0036.

**FEE CALCULATION****1. BASIC FILING FEE**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	\$710.00
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

**SUBTOTAL (1)** (\$ 710.00)**2. EXTRA CLAIM FEES**

	Extra	Fee from below	Fee Paid
Total Claims 74 - 20** =	54 X	\$18 =	\$972.00
Indep. Claims 6 - 3** =	3 X	\$80 =	\$240.00
Multiple Dependent			

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim
108	80	209	40	Reissue independent claims over original patent
110	18	210	9	Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)** (\$ 1,212.00)

\*\* or number previously paid, if greater. For Reissues, see above.

**3. ADDITIONAL FEES**

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee paid
105	130	205	65	Surcharge - late filing fee or oath	\$130.00
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	\$110.00
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt	
581	40	481	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$ 240.00)**SUBMITTED BY****Complete (if applicable)**

Name (Print/Type)

Michael Q. Lee

Registration No.  
(Attorney/Agent)

35,239

Telephone

202-371-2600

Signature

Patricia D. O'Brien / Reg # 41,224

Date

3 Oct 2000

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

SKGF Rev. 10/2000 mnaac

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